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PTO/SB/05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032  
U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

501.38435VX1

First Inventor

MITANI, SHINICHIRO

Title

A SEMICONDUCTOR DEVICE

Express Mail Label No.

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

**APPLICATION ELEMENTS**

**ADDRESS TO:**

SEE MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ Specification [Total Pages: 61]  
(Unreferenced arrangement set forth below)

-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R & D  
-Reference to sequence listing, a table,  
or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Pages: 22]

5. Oath or Declaration [Total Pages: 4]

a. ☐ Newly executed (original or copy)

b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)  
8. Nucleotide and/or Amino Acid Sequence Submission  
if applicable, all necessary  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & documents(s))  
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)  
11. ☐ English Translation Document (if applicable)  
12. ☒ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1449  
13. ☒ Preliminary Amendment  
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.  
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:  
☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/554,754

Prior application information: Examiner: D. Nhu Group Art Unit: 2818

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label

020457

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

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ANTONELLI, TERRY, STOUT & KRAUS, LLP

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Code

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Name

Gregory E. Montone

Registration No. (Attorney/Agent)

28,141

Signature

Date

February 28, 2002

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**FEE TRANSMITTAL  
for FY 2002***Patent fees are subject to annual revision.***Complete if Known**

Application Number	Not yet assigned
Filing Date	On even date
First Named Inventor	MITANI, SHINICHIRO
Examiner Name	D. Nhu
Group Art Unit	2818
Attorney Docket No.	501.38435VX1

TOTAL AMOUNT OF PAYMENT	(\$ 1,076
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**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:  
Deposit Account Number **01-2135**  
Deposit Account Name **Antonelli, Terry, Stout & Kraus, LLP**
- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17
- ☐ Applicant Claims small entity status  
See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

☐ Check ☒ Credit Card ☐ Money Order ☐ Other

**FEE CALCULATION**2. **BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1)** 7401. **EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
7 -20**	= 0	x 18	= 0
Indep. Claims 7-3**	= 4	x 84	= 336
Multiple Dependent			= 0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) \$ 336**

\*\*or number previously paid, if greater; For Reissues, see above.

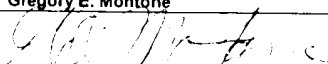
**FEE CALCULATION (continued)**

Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examination action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	400	216	200	Extension for reply within second month
117	920	217	460	Extension for reply within third month
118	1,440	218	720	Extension for reply within fourth month
128	1,960	228	980	Extension for reply within fifth month
119	320	219	160	Notice of Appeal
120	320	220	160	Filing a brief in support of an appeal
121	280	221	140	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,280	241	640	Petition to revive - unintentional
142	1,280	242	640	Utility issue fee (or reissue)
143	460	243	230	Design issue fee
144	620	244	310	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Processing fee under 37 CFR 1.17(q)
126	180	126	180	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	740	246	370	For each additional invention to be examined (37 CFR § 1.129(a))
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))
179	740	279	370	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$ 0****SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Gregory E. Montone	Registration No. (Attorney/Agent)	28,141	Telephone	703-312-6600
Signature				Date	02/28/2002

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: MITANI et al.  
Serial No.: Not yet assigned  
Filed: On even date  
For: A SEMICONDUCTOR DEVICE  
Group: 2818  
Examiner: D. Nhu

PROPOSED AMENDMENT TO THE DRAWINGS

Commissioner for Patents  
Washington, D.C. 20231

February 28, 2002

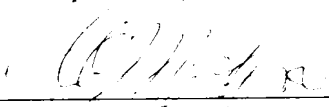
Sir:

It is proposed that the drawings in the above-identified application be amended in accordance with the attached red-lined print, and approval of these drawing corrections is respectfully requested at this time.

Upon receipt of approval of the amendment to the drawings and receipt of the official Notice of Allowance, the drawing amendments will be effected in accordance with the new procedures set forth in 1017 OG 4, April 6, 1982.

Respectfully submitted,

ANTONELLI, TERRY, STOUT & KRAUS, LLP

  
\_\_\_\_\_  
Gregory E. Montone  
Registration No. 28,141

GEM/kd  
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